

APA Performance Audit Report, as of 12/15/04

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1	COVA IT Strategic Plan	ITIB & CIO must establish a long-term COVA IT strategic vision, update COVA's IT strategic plan & consider business strategies coming from other organizations.	10/31/05 3/31/06	ITIB/Stewart Simonoff/Lubic	Underway	2/05	"VITA staff has begun the planning for this effort with the first meeting being held on 1/12/05. A committee of the Board will be established to guide this effort."
						4/05	"On behalf of the CIO, VITA staff has drafted an update to the 2002 Strategic Plan for Technology in Va. The draft was provided to the ITIB Project Review Committee on 3/16, for their review & recommendation in advance of presentation to the ITIB on 4/13. As per Code, comment by COTS is also being solicited."
						6/05	"VITA is in the planning phase of the project to develop the next iteration of the Strategic Plan for Technology in Virginia. Estimated date to publish this plan is 3/31/06."
						7/05	"Consultants who worked with the Council on Virginia's Future & DPB on the state's new strategic planning process have been retained by VITA to lead development of the new state IT strategic plan. VITA staff reviewed the proposed approach to developing the plan with the ITIB Strategic Planning & Review Committee at its 6/20/05 meeting."
						9/05	"Completed the Project "control" documents, including the Project Charter & Plan; Drafted the outline of, & framework for, the COVA IT strategic plan; Identified "stakeholder" groups to be included in the development of the Plan & the methods for engaging those groups; Delivered a project status update at the 9/8 ITIB's meeting."

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						11/05	"Developed a Project Communications Plan & introduced the project via the Chief of Staff's "Leadership Communiqué"; Held 8 half day stakeholder workshops for Executive Branch Agency business & IT leaders in Oct. & Nov.; Additional workshops & conference calls are scheduled for Dec."
						01/06	"Completed the stakeholder workshops (total of 16) with business and IT leaders & held conference calls & work sessions with legislators & legislative staff. The results of these workshops, conference calls & work sessions have been presented & discussed with the ITIB at the Commonwealth Strategic IT Planning Retreat held on Jan. 11-12, at which time a Strategic Plan for Information Technology was drafted."
2	Project oversight, monitoring & assistance	Due to lack of staff, PMD is not fulfilling statutory responsibility in the area of project oversight, monitoring, & assistance.	6/30/05 6/30/06	Simonoff & Ziomek	Completed Re-Opened 12/05	2/05	"VITA is currently evaluating funding alternatives to staff add'l positions in PMD for project oversight monitoring & assistance. VITA will also reassess current procurement, RFP & contract approval processes with the objective of minimizing required staff resources from PMD in order to increase PMD staff resources available for project oversight, monitoring & assistance."
						4/05	"Funding has been budgeted by VITA to expand the PMD staff. Applicant interviews have been completed for hiring at least two add'l PM specialists. Offers are pending. Business process reengineering of the current procurement approval (APR) process is underway."

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						7/05	<p>"PMD has developed an integrated Program Planning & Tracking process to identify upcoming critical milestones for all major IT projects under oversight. The process will better enable a comprehensive implementation of PM statutory responsibilities for project oversight, monitoring & assistance. "</p> <p>"The assignment of add'l staff resources has facilitated an improved distribution of PMD work assignments & increased available time for Secretariat & agency major IT project oversight activities. Each PMD PM Specialist is now better positioned to carry out mandated oversight, monitoring & assistance activities for each assigned project. "</p> <p>"Both the implementation of the Program Planning & Tracking process & the assignment & successful integration of add'l PMD staff adequately address this finding. VITA will continue to pursue procurement approval process reengineering as a future source of expanded staff availability to further improve project oversight."</p>
						11/05	<p>"A reassessment of current resources & assigned functions indicates that further action is needed to firmly establish a PMD capability for sustained & effective "project oversight, monitoring, & assistance." The filling of current PMD staff vacancies, intended to augment staffing shortfalls associated with such functions as ITIM implementation, RTIP reporting, the PMDP & IV&V programs, the Portfolio Project, & portfolio & program management, has been delayed. Add'l PMD staffing is being evaluated as part of the overall reorganization of VITA (now underway in conjunction with implementation of the NG (PPEA) contract) & JLARC approval of the ITIM Service Fee and related funding, which will ultimately fund sustained PMD oversight activities."</p>

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						01/06	"PMD staffing for 'project oversight, monitoring and assistance' is being evaluated as part of the overall reorganization of VITA (now underway in conjunction with implementation of the NG (PPEA) contract) & JLARC approval of the ITIM Service Fee & related funding, which will ultimately fund sustained PMD oversight activities. Funding & MEL have been identified to allow PMD to hire additional staff. The hiring process has been initiated but it is anticipated that filling of the vacant positions will not occur before April. PMD expects new hires to require some training & preparation before they are fully effective in 'project oversight, monitoring & assistance.'"
6	Project proposal template enhancements	PMD should enhance guidance & instructions to assist agencies in the financial & cost basis analysis of projects.	11/15/05 1/31/06 2/28/06	Simonoff & Ziomek	Underway	2/05	"PMD is currently revising the PM Guideline to assist agencies in the financial & cost basis analysis of projects, including modification of the project template to incorporate APA recs. PMD is evaluating acquisition of a project cost estimation tool to assist agencies in the financial & cost basis analysis of projects. PMD will provide additional training in financial & cost basis analysis through the Project Manager Development Program."
						6/05	"PMD has developed a project cost estimation tool, including standard definitions & formulas, to assist agencies in the financial & cost basis analysis of projects. PMD has begun development of add'l training in financial & cost basis analysis through the Project Manager Development Program."
						7/05	"PMD has completed a draft CBA Appendix that focuses on the financial & cost basis analysis of projects. The draft appendix is currently being reviewed & is targeted for publication by 9/30/05. The project cost estimation tool developed by PMD has been integrated with the cost benefit analysis template, & will standardize the

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							evaluation of proposed project alternatives. Uniform estimating & analysis will enhance the value of the project proposal template."
							"Rollout & training plans for the project analysis tool are now being developed & targeted for rollout by 9/30/05. PM Development Program curriculum changes, to include the new cost estimation tool & CBA appendix, have been contracted out for delivery by 11/15/05."
						9/05	"PMD has revised the 7/25 draft of the CBA appendix to the Project Management Guideline after identifying add'l requirements associated with the CBA template & cost estimation tool. PMD identified these add'l requirements based on the findings of the VITA Initiatives Benefits Methodology presented to the ITIB Finance Committee. PMD will revise the PM Standard in Nov.& require use of the CBA template in that revision. Instructions for the template & tool are in draft form & undergoing review & validation. Delivery of PM Development Program curriculum changes, to include the new cost estimation tool & CBA appendix, is on track for 11/15/05."
						11/05	"A recently completed PMD review & validation of the draft CBA Appendix (to the Project Management Guideline), including the associated CBA template & tool, identified the need for additional modifications. During the review & validation process, APA was provided a demonstration of the proposed CBA solution & given an opportunity to offer feedback on the draft CBA Appendix prior to publication. While the additional modifications to the appendix, template, & tool are now complete, final VITA approval (for publication) has been delayed. PMD is planning to promulgate the new CBA Appendix as a formal change to the Commonwealth Project Management Guideline & Standard by 1/31/06."

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						01/06	"The CBA Appendix to the Project Management Guideline has been approved & is available online as Appendix D to the Project Management Guideline. The associated CBA Template & tool are complete & the most current version is available on the VITA Website (Project Management Page). The revision to the Project Management Standard has been completed & reinforces the requirement to use the CBA Template. The Standard has been posted for agency comment (for 30 days) & will be submitted for approval by the CIO & ITIB on or about February 23. Publication of the Standard is now scheduled for February."
13	Security audit program development	Develop a risk management program. Develop the Security Audit Program	6/30/05 12/31/05 6/30/06	Deason	Underway	2/05 6/05	"Security Services is establishing a risk management program & is currently performing a risk assessment against IT Security controls for VITA divisions to include the identification of critical databases." "Security Services has made substantial progress against this milestone. Initial Security Assessments for in-scope agencies that will identify critical and sensitive databases & data communications are underway & will be completed by 6/30/05. At the same time, a cross-functional, cross-agency work group is developing security audit standards & procedures; this work will also be completed & submitted to ORCA by 6/30/05. Once these efforts are complete we will begin applying the security audit stds to those databases & data communications identified as critical & sensitive. Progress in completing these tasks was delayed, however, until initial funding & resources for these activities was approved in 04/05. Implementing the fully-defined security audit program is contingent upon rate structure approval by JLARC in Fall 2005."

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						8/05	"Draft of the Security Audit Standard was on O.R.C.A. The closing date for comments was 7/1/05. Comments will be reviewed for inclusion, & then the document can be published."
						9/05	"Comments received from O.R.C.A. are being reviewed and incorporated into the standard when applicable. The Enterprise Security Std is being revised to reflect the development of the audit std."
						11/05	The Enterprise Security Standard was revised & posted to O.R.C.A. The closing date for comments was 11/22/05 but was extended to 12/7/05 at the request of agencies. Comments will be reviewed for inclusion, & then the Std. can be approved & published. Availability of planned add'l resources will likely be impacted by any delay in implementing security rates currently pending approval by JLARC and related funding. Full implementation is contingent upon such approval and funding."
						01/06	"Enterprise IT Security Standard publication date has been extended to allow for additional review and comments from Internal Audit, APA and Higher Ed CIO Council. Availability of planned add'l resources will be impacted by any delay in implementing the approved security rates & related funding. Full staff implementation is contingent upon such rate implementation & funding."
14	Staffing database security audits	Use Customer Service employees to assist in database security audits VITA Note: The Draft Auditing Std places audit Staffing responsibility with agencies.	6/30/06	Deason	Underway	2/05	"A budget amendment for funding has been submitted for SB1252. The funding if approved will be available 7/1/05 & allow for the hiring of staff to support the auditing of databases & the risk management program. This funding approval is critical to the success of the risk management programs."

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						4/05	"A workgroup is being created to develop a plan to do a security audit of the COV's databases."
						6/05	"Database audit workgroup has begun holding mtgs & assessing who should perform security audits."
						8/05	"Implementing the fully-defined security audit program is contingent upon rate structure approval by JLARC in Fall 2005."
						9/05	"Security Services is refining the Database Security Audit Standard and developing plans for its implementation."
						11/05	"The Enterprise Security Std is being reviewed. Once finalized the Auditing Std. will be implemented which places responsibility for conducting audits with the agencies."
						01/06	"Enterprise IT Security Standard publication date has been extended to allow for additional review and comments from Internal Audit, APA & Higher Ed CIO Council. Once finalized, the Auditing Std. will be implemented which places responsibility for conducting audits with the agencies."

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1.A	Develop Policies, Procedures & Stds for Infrastructure	Document policies, procedures, & standards for routers & firewalls at the data center.	1/31/06	Deason		10/05	"Baseline security configuration standards documents for routers and firewalls are being developed & submitted to Customer Services for implementation."
					Underway	11/05	"Common platform baseline security configuration standards have been developed & submitted to operations for implementation. Additional baseline configuration standards are being developed for less common systems."
					Complete	01/06	"Operations has reviewed the config. standards for impact. Based on feedback, revisions have been made to the stds."
			3/31/06	Carter		10/05	"VITA data center policies & procedures are being updated & developed to address staffing requirements, monitoring & logging procedures, & access procedures, among others."
					Underway	11/05	"Evaluating the standards, assessing the impact on the operational production network infrastructure environment, (routers, switches, firewalls), that may require exceptions and/or refinements to the standards."
						01/06	"Documenting the processes & configuration/implementation procedures for the production network infrastructure environment (routers, switches, firewalls) that may require exceptions and/or refinements to the standards."
1.B	Develop Policies, Procedures & Stds for Infrastructure	Document & implement policies, procedures, & standards for common infrastructure elements & approve any exceptions in writing.	1/31/06	Deason		10/05	"Security will complete the development of security policies & stds for infrastructure operations, including policies & procedures for obtaining approval of exceptions."

Corrective Action Plans Status as of 1/06

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
					Underway	11/05	"Started review & development of VITA enterprise detailed policies, stds & procedures from the COV draft enterprise std. Started on a procedure & form(s) for exceptions to the VITA enterprise detail policies, procedures & stds for customer agencies use as needed."
					Complete	01/06	"Configuration Standard Exception Policy & form have been developed, provided to customer services and placed on the Intranet and Extranet."
			4/30/06	Saneda		10/05	"Customer Services will begin implementation of security policies, procedures, & standards. Due to a myriad of variables, an end date to complete the initial implementation will be determined in FY 06."
					Underway	11/05	"16 std configurations have been received; firewall/router/switch configs were distributed to the Network COIN in Sept. for comment, server/desktop/exchange configs will be distributed to the Server COIN & Desktop COIN in Dec. Implementation is still planned for 06 pending rollout planning with NG."
						01/06	"Customer Service staff are reviewing the revised standards & expect to present them to the next COIN in Feb."
2.A	Update MOA's & Maintain Documentation for Exceptions to Server Policies	Update all server farm Customer Service Plans to reflect current security responsibilities & policies, procedures, and standards.	1/6/06 3/31/06	Carter		10/05	"Customer Services is including security roles & responsibilities in the Service Plans for customer agencies. The MOA will be an attachment to the Service Agreements for the Dept. of Taxation, Dept. of Social Services & the Va Employment Commission. These are the 3 customer Agencies that have an MOA to operate servers in the Richmond Plaza Bldg (RPB) server farm."

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
					Underway	12/05	"MOU's have been provided to all Direct Bill customers (including TAX, DSS and VEC) with the expectation of acceptance by 12/31/05."
						01/06	"VITA ESD's are working with agencies to revise MOU & service profiles to reflect changes suggested by the agencies & VITA. The MOUs are now expected to be signed by the end of the first quarter."
2.B	Update MOA's and Maintain Documentation for Exceptions to Server Policies	Fully document the requests & approval of exceptions to agreed-upon policies, procedures & standards.	1/6/06 3/31/06	Deason		10/05	"Security Services, in consultation with Customer Services, will develop a written procedure for documenting, approving & retaining requests for exceptions to security policies, procedures & standards."
					Underway	11/05	"Work has started on a procedure & form(s) for exceptions to the prior mentioned VITA enterprise detail policies, procedures & stds for customer agencies use as needed."
						01/06	"Exception process for documenting requests and approval of exceptions to agreed upon policies, procedures & standard needs to be finalized. The target date for this objective is being revised to coincide with the implementation of the MOA templates as an objective stated in 2.A above."
			4/30/06	Saneda		10/05	"Customer Services will initially implement these for the three customer Agencies for which VITA has MOAs to operate servers in the Richmond Plaza Building server farm."
					Underway	12/05	"Assessment of the security stds is being conducted to determine the extent compliance can be achieved w/o impact to prod. servers."

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APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
						01/06	<p>"Security has adopted the Center for Internet Security (CIS) baseline standards for server security & has revised the posted platform standards to reflect this change. VITA Customer Services' UNIX Branch engineers have executed the CIS scan tool on the DSS & TAX servers. Exception forms were generated & provided to DSS & TAX Security Officers to complete the requests for exceptions for VITA Security approval.</p>
3.	Improve Policies & Procedures over Change Management	Modify existing VITA Central change mngmt policies & procedures to include documented & approved rollback plan, procedures for testing changes, & procedures for the review of completed high risk changes.	12/31/05 2/28/06	Carter		10/05	<p>"Modify existing policies and procedures to:</p> <p>(3.A.) include requirements for approved rollback (back-out) plans to support the application code changes to be implemented to enforce mandatory rollback (back-out) plans.</p> <p>"(3.B.) require all requestors to close out change requests via appropriate Complete or In-Complete designations, along with application code changes to be implemented to enforce it.</p> <p>"(3.C.) require that changes are approved only by those authorized, along with application code changes to be implemented to support them.</p>
					Underway	11/05	<p>"Application code changes for 3.A. were implemented into production 11/20/05. Changes to the Change Management Procedure have been drafted. However, the procedure will not go through PPRAT & posting to VITA WEB until we complete all tasks 3.A. – 3.C. Changes for 3.B. & 3.C. are slated for 12/4 & 11 respectively."</p>

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							<p>01/06 "Application code changes for 3.B were implemented on 12/4/05. Application code changes for 3.C were successfully implemented on 1/29/06. The revised Change Management procedure covering items 3.A, 3.B & 3.C have been submitted to PPRAT & are pending review on 2/3/06.</p>
			3/31/06	Carter	Underway	10/05	<p>"(3.D.) define the requirements of which changes have to be tested prior to the change being implemented."</p>
						11/05	<p>"Changes being planned – initiation pending completion of 3.A. – 3. C."</p>
							<p>01/06 "Item 3.D was substantially completed on 1/30/06 via the definition of changes that had to be tested prior to production implementation being added to the VITA Change Management procedure. This revised version was sent to PPRAT & is pending review on 2/3/06. We also distributed a copy of the revised change management procedure to VITA Central Change Mngmt participants on 1/30/06 stating that even though the procedure had not yet been posted to VITAWEB, that it was in effect."</p>
			3/31/06	Carter	Underway	10/05	<p>"(3.E.) include definition of "High Risk" changes & the necessary process for appropriate reviews of completed "High Risk" changes."</p>
						11/05	<p>"Changes being planned – initiation pending completion of 3.A – 3.C."</p>
							<p>01/06 "Item 3.E was substantially completed on 1/30/06 via the definition of high risk changes & the process required of conducting</p>

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							a pre & post implementation review in weekly Change Management meetings, being added to the VITA Change Management procedure. This revised version was sent to PPRAT and is pending review on 2/3/06. We also distributed a copy of the revised change management procedure to all VITA Central Change Management participants on 1/30/06 stating that even though the procedure had not yet been posted to VITAWEB, that it was in effect."
4.	Update Business Impact Analysis, Risk Assessment & Disaster Recovery Plan Complete	Update risk assessment, business impact analysis & disaster recovery plan to include executive infrastructure as quickly as possible.	11/15/05	Deason		10/05	4.A. "Expand the VITA Disaster Recovery (DR) plan to include operations at Customer Agency locations by:
					Complete	11/05	4.A.1. Obtaining COOP/DR Plans from Customer Agencies. Security Services has obtained the COOP/DR.
			11/15/05	Deason			4.A.2. Developing a DR Assessment template.
					Complete	11/05	DR Assessment Template has been developed.
			12/1/05	Saneda Deason			4.A.3. Beginning an assessment of Customer Agencies DR Plans using the DR Assessment template."
					Complete	11/05	"Security Services & Customer Services decided that Security Services will assess Agency DR plans ensuring appropriate VITA staff have access to agency DR plans & understand VITA responsibilities. Security Services has begun the assessments."
			7/31/06	Deason/Saneda			4.A.4. "Revising VITA DR Plan to include operations at Customer agency

Corrective Action Plans Status as of 1/06

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							locations."
					Not Started	1/05	"Security Services & Customer Services will work to revise VITA DR Plan as assessments of customer DR Plans are completed. Security Services & Customer Services will need to work with VITA's partner(NG) in utilizing partner tools & format."
					Underway	01/06	"Security Services has completed their review of customer DR Plans. Assessments have been turned over to customer services for updating to VITA's DR Plan. Operations has assigned 3 resources in Computer Operations to develop DR plans and test plans for remote locations based on current agency COOP plans and the VITA regionalization support model. Plans will be by region and first region (Tidewater) is scheduled to be complete by Sept 2006."
			12/31/06	Deason		10/05	4.B "Complete Customer Agency security assessments.
						11/05	Security Services is developing a schedule to complete Security Assessments for remaining Agencies."
					Underway	01/06	"Schedule to complete Security Assessments for the remaining customer agencies is complete. This schedule may be revised based on availability of customer agencies."
			1/15/07	Deason		10/05	4.C "Using the security assessment results & customer agency input, begin updating

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							the VITA BIA, RA & DR."
					Not Started	11/05	"VITA BIA, RA and DR will be updated as input becomes available."
					Underway	01/06	"46 assessments are have been completed by Security. Customer Services has identified a team to begin updating individual agency DR plans so that the plan is actionable and complete."